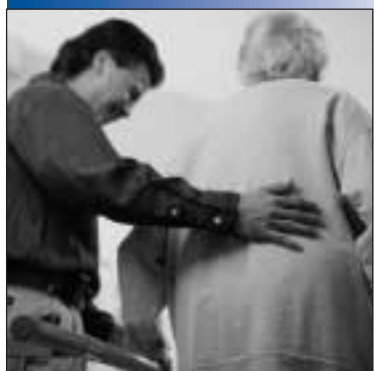


Application Forms & Instructions

for Business,
Education, and Health Care



accomplishment



recognition



The Malcolm Baldrige National Quality Award

The Award, composed of two solid crystal prismatic forms, stands 14 inches tall. The crystal is held in a base of black, anodized aluminum with the Award recipient's name engraved on the base. A 22-karat, gold-plated medallion is captured in the front section of the crystal. The medal bears the inscriptions: "Malcolm Baldrige National Quality Award" and "The Quest for Excellence" on one side and the Presidential Seal on the other.

The President of the United States traditionally presents the Awards at a special ceremony in Washington, DC.

Awards are made annually to recognize U.S. organizations for performance excellence. Awards may be given in each of five eligibility categories:

- manufacturing companies
- service companies
- small businesses
- education institutions
- health care organizations

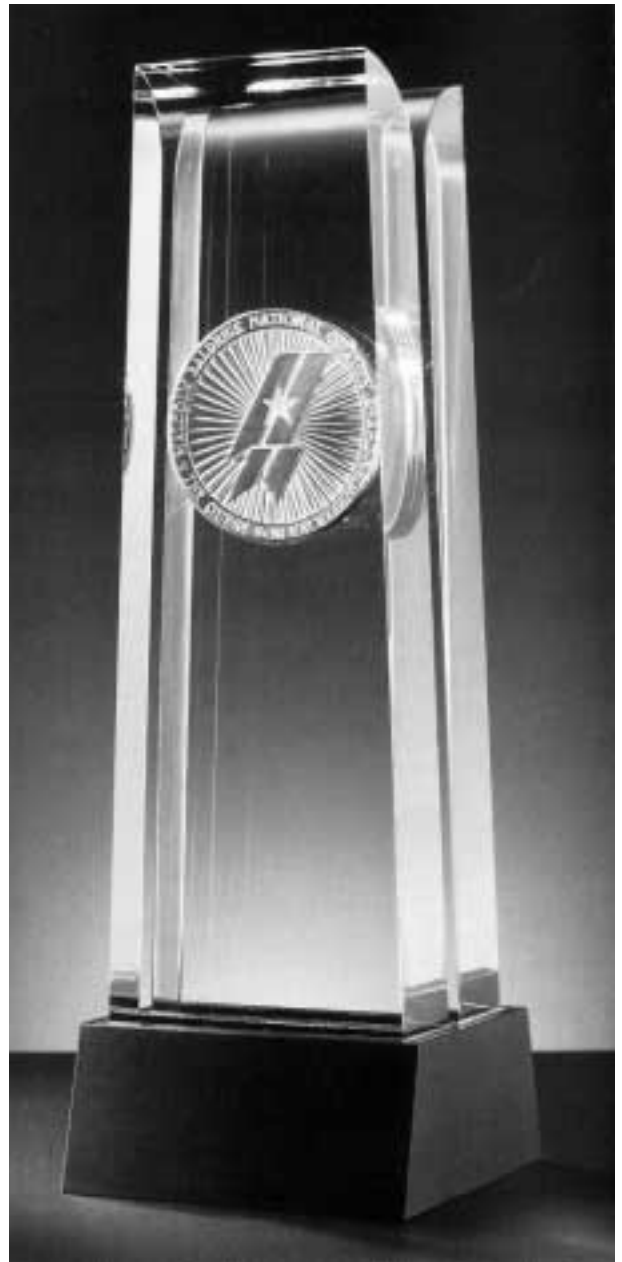
Award recipients may publicize and advertise their Awards. Recipients are expected to share information about their successful performance strategies with other U.S. organizations.

Changes to the Eligibility Rules

On October 30, 1998, President Clinton signed legislation expanding the eligibility categories of the Baldrige Award to include education institutions and health care organizations, beginning with the 1999 Award cycle. To determine the interest and readiness of the education and health care sectors to participate in the Baldrige Award Program, NIST conducted successful pilot programs in 1995.

Education institutions and health care organizations should use the appropriate *1999 Criteria for Performance Excellence*. Eligibility rules and forms for these sectors and for the three business categories are found in this booklet, *1999 Application Forms & Instructions for Business, Education, and Health Care*.

The new legislation also increased the number of possible Award recipients from two to three in each category, including education and health care.



Crystal by Steuben

The Malcolm Baldrige National Quality Award logo and the phrases "Quest for Excellence" and "Performance Excellence" are trademarks and service marks of the National Institute of Standards and Technology.

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If you plan to apply for the Award in 1999, you will also need the *1999 Criteria for Performance Excellence* (i.e., Business, Education, or Health Care) pertaining to your particular organization. Ordering instructions are given on page 24.

Eligibility Determination Package due — April 15, 1999
Award Application Package due — June 2, 1999

The Malcolm Baldrige National Quality Award and Award Process

What is the purpose of this booklet?

The purpose of this booklet is to provide eligibility and application instructions and forms to organizations interested in applying for the Malcolm Baldrige National Quality Award.

What is the Malcolm Baldrige National Quality Award?

The Malcolm Baldrige National Quality Award, created by public law in 1987, is the highest level of national recognition for performance excellence that a U.S. organization can receive.

The major focus of the Award is on results, including customer satisfaction. It is *not* given for specific products or services. To receive an Award, an organization must have a system that ensures continuous improvement in the delivery of products and/or services and provides a way of satisfying and responding to stakeholders.

Up to three Awards may be given annually in each of five eligibility categories: manufacturing companies, service companies, small businesses, education institutions, and health care organizations.

Why was the Award established?

The Award was established to promote the awareness of performance excellence as an increasingly important element in competitiveness. Not only does it recognize excellent organizations, the Award also aims to increase the understanding of the requirements for performance excellence. To accomplish this, the Award promotes information sharing on successful performance strategies and the benefits derived from implementation of these strategies.

Who may participate?

Organizations that may apply include: privately and publicly owned for-profit businesses headquartered in the United States and its territories; for-profit and not-for-profit public, private, and government education institutions that provide educational services in the United States and its territories; and for-profit and not-for-profit public, private, and government health care organizations located in the United States and its territories that are primarily engaged in furnishing medical, surgical, or other health services directly to persons. Some subunits of organizations may apply if they meet certain requirements.

Who is involved with the Award process?

National Institute of Standards and Technology (NIST): The Department of Commerce is responsible for the Baldrige National Quality Program and the Award. NIST, an agency of the Department's Technology Administration, manages the Baldrige Program.

American Society for Quality (ASQ): ASQ assists in administering the Award Program under contract to NIST.

Board of Examiners: The Board of Examiners evaluates Award applications and prepares feedback reports for the applicants. The Board consists of leading U.S. business, health care, and education experts.

Judges: The Panel of Judges, part of the Board of Examiners, selects Award applicants that will undergo site visits and recommends Award recipients. Judges are appointed by the Secretary of Commerce from all sectors of the U.S. economy.

Board of Overseers: The Board is appointed by the Secretary of Commerce and is the advisory organization for the Baldrige National Quality Program to the Department of Commerce. Board members are distinguished leaders from all sectors of the U.S. economy.

The Foundation for the Malcolm Baldrige National Quality Award: The Foundation was created to raise funds to permanently endow the Award Program and to manage that endowment.

Some of the seven Baldrige Categories have different names in the Business, Education, and Health Care Criteria. How do the new Education and Health Care Criteria Categories differ from the traditional seven Baldrige Categories?

There is a very close correlation between all three Criteria and their related Categories. Three of the Categories—Category 1: Leadership; Category 2: Strategic Planning; and Category 4: Information and Analysis—have the same title in all three Criteria. The other four Categories have different titles that reflect terminology differences for the three sectors. For example, in the Business Criteria, Category 3 is called “Customer and Market Focus.” That same Category is called “Student and Stakeholder Focus” in the Education Criteria and “Focus on Patients, Other Customers, and Markets” in the Health Care Criteria.

What is the basis for the Criteria?

Criteria are developed from the state-of-the-art learnings of private and public sector organizations that are working to achieve organizational quality and performance excellence. The Criteria reflect validated, leading-edge practices for achieving performance excellence.

What does an applicant receive for applying?

Each applicant gains an outside perspective on its organization based on 300 to 1,000 hours of review by members of the Board of Examiners. The results of this review are distilled in a feedback report, outlining strengths and opportunities for improvement based on the Criteria. Feedback reports are often used by organizations as part of their strategic planning processes to focus on their customers and to improve productivity, as well as to help energize and guide their organizational improvement programs.

How are Award recipients selected?

Award applications are reviewed by a team from the Board of Examiners. High-scoring applicants receive site visits. The Panel of Judges recommends Award recipients from among the site-visited companies. The Secretary of Commerce then makes the final selection of Award recipients.

What does an organization receive if it is an Award recipient?

Award recipients receive a crystal trophy bearing a gold-plated, die-struck medallion with the inscriptions “Malcolm Baldrige National Quality Award” and “The Quest for Excellence.” The President of the United States traditionally presents the awards at a special ceremony in Washington, DC. Award recipients may publicize and advertise their Award.

Is the identity of applicants and the information submitted made available to the public?

The identity of all applicants remains confidential unless they receive an Award. The information they submit also is treated as confidential.

What is expected of Award recipients?

Award recipients are required to share information about their successful performance and quality strategies with other U.S. organizations. However, recipients are not required to share proprietary information, even if such information was part of their Award application. The principal mechanism for sharing information is the annual Quest for Excellence Conference, highlighted on the inside back cover. Sharing beyond the Quest for Excellence Conference is on a voluntary basis.

How do organizations apply?

Applying for the Award is a two-step process. The first step is eligibility determination, which involves establishing that the organization meets eligibility requirements. Instructions and forms for establishing eligibility are on pages 6-17.

Once eligibility has been determined, the second step consists of preparing and completing an Application Form and an Application Report. The Application Report must summarize the organization's practices and results in response to the requirements in the Items of the Criteria for Performance Excellence. Application instructions and forms are on pages 19-23.

What is the basis for the addition of the two new categories?

For several years, the education and health care sectors have expressed strong interest in full participation in the Baldrige National Quality Program. This interest was prompted in part by the business community, a major stakeholder in both sectors.

In 1995, NIST conducted successful pilot programs in the two sectors. The pilot programs featured: formation of Education and Health Care Pilot Evaluation Teams; development of the pilot criteria and distribution to each sector; development of case studies for each sector; networking with educators and health care professionals across the country; and participation by 46 health care and 19 education organizations. Each applicant received written feedback on its performance management system, including strengths and opportunities for improvement.

In May 1997, the private Foundation for the Malcolm Baldrige National Quality Award announced a \$15 million fund drive to raise an endowment to help establish an award program for the education and health care sectors. In 1998, new criteria were issued, funded by the Department of Education and the Veterans Health Administration. The new criteria have the same framework and intent as the Business Criteria, but differ in sector-specific issues and language.

1999 Baldrige Award Program Processes and Time Frames

Eligibility Determination

(Package postmarked to ASQ by **April 15, 1999**)

Prepare and submit the Eligibility Determination Package no later than April 15, 1999, to establish eligibility in one of five Award categories: manufacturing, service, small business, education, or health care. Remember to submit the nonrefundable Eligibility Determination Fee along with the Eligibility Determination Package. (See box on page 5.)

Award Application

(Package postmarked to ASQ by **June 2, 1999**)

Prepare and submit 20 copies of the application report with the application fee(s) by June 2, 1999. The application fee, which must be included as part of the Award Application Package, covers expenses associated with the review of applications and the development of feedback reports. Fees are detailed on page 5.

Stage 1: Independent Review

(**June - August 1999**)

The application report is reviewed independently by members of the Board of Examiners. At the conclusion of this review, the Panel of Judges determines which applications receive consensus review. At each stage, applicants receive every reasonable consideration to advance to the next stage.

Stage 2: Consensus Review

(**August - September 1999**)

The application report is reviewed jointly by a team of Examiners, led by a Senior Examiner. At the conclusion of this review, the Panel of Judges determines which applicants should receive site visits.

Stage 3: Site Visit Review

(**October - November 1999**)

A team of four to eight members of the Board of Examiners, led by a Senior Examiner, conducts on-site verification and clarification of the application report. Site visits consist primarily of a review of pertinent records and data and interviews with executives and employees. No site visits are conducted outside the United States or its territories. Following the site visit, the site visit review team submits its report to the Panel of Judges.

If an organization is chosen for a site visit, it will be responsible for paying a site visit review fee, which helps cover expenses associated with the site visit. Further information on the site visit fee is given on page 5.

Stage 4: Judges’ Final Review
(November 1999)

The Panel of Judges conducts final reviews and presents Award recipient recommendations to the Director of NIST, who conveys the recommendations to the Secretary of Commerce. The Secretary of Commerce makes the final determination of Award recipients.

Role Model Determination: The Secretary of Commerce and the Director of NIST are responsible for determining that recommended Award recipients would be appropriate role models and therefore should be approved for the Malcolm Baldrige National Quality Award. The purpose of this determination is to help ensure that the Award’s integrity is preserved.

In determining role models, NIST conducts records checks on potential Award recipients to ensure compliance with legal and regulatory requirements. These include records of the Internal Revenue Service, the Federal Bureau of Investigation, the Bureau of Export Administration, the General Services Administration, and local police and judicial offices in the applicant’s headquarters jurisdiction. No new or independent investigations are conducted.

Feedback Reports
(September 1999 - December 1999)

Each applicant receives a feedback report after it is determined that the applicant will not move to the next stage of consideration for the Award. Feedback reports are prepared by members of the Board of Examiners based on the applicant’s responses to the Criteria for Performance Excellence. The feedback reports contain an applicant-specific listing of strengths and opportunities for improvement based on the Criteria for Performance Excellence.

Award Ceremony
(Winter 2000)

The President of the United States traditionally presents the Awards at a special ceremony in Washington, DC.

Fees for the 1999 Award Cycle

| |
|---|
| <p>Eligibility Determination Fee</p> <p>A nonrefundable fee of \$100 must be submitted to ASQ along with the Eligibility Determination Package by April 15, 1999.</p> |
| <p>Application Fee</p> <p>The application fees are as follows: manufacturing, service, for-profit education institutions, and for-profit and not-for-profit health care organizations with more than 500 employees — \$4500; small businesses, for-profit education institutions, and for-profit and not-for-profit health care organizations with fewer than 500 employees — \$1500; all not-for-profit education institutions — \$300; and supplemental section(s) — \$1500. The appropriate fee(s) must be submitted to ASQ with the Award Application Package by June 2, 1999.</p> |
| <p>Site Visit Review Fee</p> <p>This fee is paid only by applicants receiving site visits. The fee is set when visits are scheduled and is dependent on a number of factors, including the number of sites to be visited, the number of Examiners assigned, and the duration of the visit. The fee is due at ASQ two weeks after completion of the site visit.</p> <p>The site visit fee for small businesses, for-profit education institutions, and for-profit and not-for-profit health care organizations with fewer than 500 employees is one-half the rate for applicants with more than 500 employees in the manufacturing, service, for-profit education, and health care sectors. Nominal fees will be charged to not-for-profit education institutions selected for site visits.</p> |

1999 Eligibility Determination Package Instructions

I. Purpose

The purpose of this section is to provide applicants with instructions for preparing the Eligibility Determination Package, the first step in applying for the Malcolm Baldrige National Quality Award. These instructions describe the considerations that are used to determine eligibility and how to complete the Eligibility Determination Form.

II. Objective

The objective of the Eligibility Determination Package is to provide sufficient information to establish if the organization is eligible to apply for the Award. In addition, the completed Eligibility Determination Package represents a useful profile of the organization. For this reason, it is included in the application report and is often the first information about the applicant read by Examiners.

III. Submission Requirements

A. Eligibility Determination Package

1. The form must be filled out completely and signed. All information provided is considered confidential.
2. A line and box organization chart for the applying organization must be attached. Each box within the chart should include the name of the head of each unit or division.
3. If the applying organization is a subunit of a larger organization, the following must also be attached:
 - Line and box organization chart(s) showing the relationship of the applicant to the highest management level of the parent organization, *including all intervening levels*; and
 - A copy of the relevant section/pages of an official publication supporting the subunit designation.

B. Letter of Transmittal

A transmittal letter on the applicant's stationery signed by the Highest-Ranking Official must accompany the Eligibility Determination Package. The letter need only state that the organization is submitting its eligibility application.

C. Fee

A check or money order for the \$100 nonrefundable fee must be attached to the Eligibility Determination Package. The fee must be payable to "The Malcolm Baldrige National Quality Award."

D. Submission

Potential applicants for the 1999 Award are encouraged to submit the Eligibility Determination Package **as soon as possible, but must do so no later than April 15, 1999.**

IV. Eligibility Determination

The Eligibility Determination Package will be reviewed. If clarification is required, the designated Eligibility Contact Point will be contacted. Applicants will be notified of their eligibility status by ASQ within 14 days of receipt of the package, or additional information will be requested. The form showing the eligibility determination decision will be returned for inclusion in the Award Application Package.

V. Eligibility Categories and Restrictions

A. Business Eligibility Categories

Public Law 100-107 established three business eligibility categories of the Award: manufacturing, service, and small business. Any for-profit business headquartered in the United States or its territories, including U.S. subunits of foreign companies, may apply for the Award. Eligibility for the Award is intended to be as open as possible. For-profit businesses including publicly or privately owned, domestic or foreign owned companies, joint ventures, corporations, sole proprietorships, partnerships, and holding companies may apply.

The three business categories are defined as follows:

1. Manufacturing

Companies and some subunits (see C.4. on the next page) that produce and sell manufactured products or manufacturing processes, and those companies that produce agricultural, mining, or construction products. (See NAICS Codes on page 18.)

2. Service

Companies and some subunits that sell services.

Note: Where an applicant is both a manufacturer and a service provider, the larger percentage of sales will determine the appropriate eligibility category.

3. Small Business

Companies with no more than 500 employees engaged in manufacturing and/or the provision of services.

Local, state, and federal government agencies, not-for-profit organizations, trade associations, professional societies, and subunits of small businesses are not eligible for the business categories.

B. New Education and Health Care Eligibility Categories

Public Law 100-107 includes provisions to expand or modify the list of Award categories. Beginning with the 1999 Award cycle, two new eligibility categories in education and health care will be added. Education and health care applicants will use separate Criteria. (See ordering information on page 24.)

1. Education

Participation is open to for-profit and not-for-profit public, private, and government institutions and some subunits – including U.S. subunits of foreign organizations – that provide education services in the United States and its territories. Eligibility is intended to be as open as possible. For example, eligible organizations include: elementary and secondary schools and school districts; colleges, universities, and university systems; schools or colleges within universities; professional schools; community colleges; and technical schools.

Departments within schools or colleges are ineligible.

Note: For-profit education institutions may choose to apply either under the service or small business category, as appropriate, using the Business Criteria, or under the education category using the Education Criteria.

2. Health Care

Participation is open to for-profit and not-for-profit public, private, and government organizations and some subunits – including U.S. subunits of foreign organizations – located in the United States and its territories that are primarily engaged in furnishing medical, surgical, or other health services directly to persons. Eligibility is intended to be as open as possible. Eligible organizations include: hospitals, health maintenance organizations, nursing homes, health care practitioner offices, home health agencies, and dialysis and ambulatory surgery centers.

Organizations that do not directly provide health services to persons, such as social service agencies, health

insurance companies, or medical/dental laboratories, are ineligible under this category. However, such organizations – if they are for-profit – might be eligible under the service or small business categories.

Note: For-profit health care organizations may choose to apply either under the service or small business category, as appropriate, using the Business Criteria, or under the health care category using the Health Care Criteria.

C. Restrictions on Eligibility

The following restrictions and conditions ensure fairness and consistency:

1. The applicant must have been in existence prior to April 15, 1998.
2. All subordinate elements of the applicant's organization must be included in the application.
3. An applicant is eligible only if the operational practices associated with all of its major organizational functions are examinable in the United States or its territories. If an applicant has some activities performed outside its immediate organization (e.g., by overseas components of the applicant, a parent organization, or other subunits), it must ensure that:
 - In the event of a site visit, the appropriate personnel and materials will be available for examination in the United States to document operational practices in all major organizational functions; and
 - In the event the applicant wins the Award, it will be able to share information on the seven Criteria Categories at the Quest for Excellence Conference and at its U.S. facilities. Sharing beyond the Quest for Excellence Conference is on a voluntary basis.
4. **Subunits**

For purposes of the 1999 Award Application, a subunit means a unit or division of a larger organization. The larger organization that owns or controls a subunit will be referred to as the "parent." A parent means the highest level of a company, institution, or organization that would be eligible to apply for the Award.

 - a. A subunit must be self-sufficient enough to be examined in all seven Criteria Categories.
 - b. A subunit must have a clear definition of organization as reflected in organizational literature (e.g., organization charts, administrative manuals, and annual reports); be recognizable as a discrete entity; and be easily distinguishable from the parent or other subunits of the parent.
 - c. The subunit must function as a business or operational entity, not as a collection of activities aggregated for the purposes of writing an Award application.

- d. In the business categories, a subunit is ineligible if it is primarily an internal supplier of products or services to the parent organization and its subunits.

- e. Subunits performing solely support functions are ineligible.

Ineligible business support functions include: sales, marketing, distribution, customer service, finance and accounting, human resources, environmental, health and safety of employees, purchasing, legal services, and research and development.

Ineligible education support functions include: academic resource and development centers, student advising units, counseling units, food services, health services, housing, libraries, safety, information technology resources, environmental services, finance and accounting, human resources, public relations, and purchasing.

Ineligible health care support functions include: nursing, housekeeping, radiology, member services, finance and accounting, billing, human resources, purchasing, legal services, and research and development.

- f. In the business categories, a subunit must satisfy at least one of the following conditions:
 - it must have more than 500 employees; OR
 - it must have at least 25 percent of all employees in the worldwide operations of the parent; OR
 - it must have been independent prior to being acquired by the parent and continue to operate independently under its own identity.

5. Multiple-Application Restrictions

- a. A subunit and its parent may not both apply for Awards in the same year.
- b. Only one subunit of a parent organization may apply for an Award in the same year in the same Award category.
- c. In the event of multiple submissions from subunits of the same parent, the parent organization will be given the option of deciding which subunit will represent it. Alternatively, if the parent organization does not choose a representative subunit, the earliest application received will be determined to be eligible.

6. Restrictions on Award Recipients

If an organization or a subunit that has more than 50% of the total employees of the parent receives an Award, the organization and all its subunits are ineligible to apply for another Award for five years. If a subunit receives an Award, that subunit and all its subunits are ineligible to apply for another Award for five years. After five years, Award recipients are eligible to reapply for the Award or to reapply “for feedback only.”

Eligibility Determination Form – Instructions

Instructions

1. Applicant

Provide the applicant's official name, which is to be used in making the role model determination. (See page 5.) Also, provide any other names by which the applicant may be known publicly, and its previous name if there has been a name change within the last five years. Provide the address of the applicant's headquarters. Check whether or not the applicant has existed for at least one year, or prior to April 15, 1998. If the answer is "No," briefly explain.

Attach a line and box organization chart for the applying organization. Each box within the chart should include the name of the head of each unit or division.

2. For-Profit/Not-For-Profit Designation

Check the appropriate response.

3. Industrial Classification

Provide up to three three- or four-digit NAICS codes that best describe the applicant's products and/or services. See page 18 for further information.

4. Award Category

Based on the information given on pages 6 through 8, indicate for which one of the five Award categories the applicant is planning to apply. Also, indicate which of the three Criteria (Business, Education, or Health Care) the applicant is planning to use.

5. Size and Location of Applicant

- Circle the appropriate financial descriptor (sales, revenues, or budgets) for the applicant, and check the appropriate range for the preceding fiscal year.
- Give the number of the applicant's sites. Offices or other work areas located near each other need not be counted as separate sites if the applicant considers them as one location for business and personnel purposes.
- Estimate the number of the applicant's employees as of April 15, 1999.
- State the approximate percent (to the nearest whole number) of the applicant's employees located in the United States or its territories.
- State the approximate percent (to the nearest whole number) of the applicant's physical assets located in the United States or its territories.

f & g. Check the appropriate response.

6. Site Listing and Descriptors

- Provide the complete address of each site. In cases where the applicant has many sites performing the same function, these sites may be aggregated under one listing. The applicant may make a summary statement about the locations instead of listing the addresses for each location. If a site visit is to be conducted, a more detailed listing will be requested when the visit is planned. If the applicant has foreign sites, these sites must be included. The Site Listing and Descriptors page should be duplicated if all sites cannot be listed on a single page. The 1999 Application Report must address activities in foreign sites in the appropriate Items. No site visits will be conducted at sites outside the United States or its territories.
- Provide the **number** of the applicant's employees at each site. Circle the appropriate financial descriptor (sales, revenues, or budgets). Provide the approximate **percent** of sales, revenues, or budgets accounted for by the output of each site. Use "Not Applicable" (N/A) for percent of sales, when appropriate.
- Describe the types of all major products or services that constitute the output of each site. It may be necessary to state the relationship between the output of the site and the applicant's final products and services. It is not necessary to list every product or service.

7. Business/School Factors

Provide a brief description of the following key factors:

- Nature of the applicant's products, services, and technologies. A list of **key** competitors must be included;
- Nature of major markets (local, regional, national, and international). A list of **key** customers/users must be included; and
- Importance of suppliers, dealers, distributors, and franchises. A list of **key** suppliers, including the financial auditor, and a description of the type of product or service provided must be included.

Note: The lists of key competitors, customers/users, and suppliers (including the financial auditor) are used to consider conflicts of interest in assigning Examiners.

8. Subunits

If the applicant is a subunit of a larger organization, then responses to 8a through 8j are required; otherwise, go to 9.

- Provide the name and address of the parent and the name and title of the highest official of the highest ownership level of the parent. Provide the number of

worldwide employees of the parent, including all subunits. Do not include joint ventures.

- b. Check the appropriate response.
- c. Check the appropriate response.
- d. Check the appropriate response.
- e. Check the appropriate response. If two or more subunits from the parent are planning to apply, provide a brief explanation.
- f. **Business applicants only:** Check the appropriate response. If the answer is “No,” briefly describe these users and their relationship to the applicant.
- g. Submit a short document, such as an annual report or the appropriate page(s) from an organizational publication, showing the organization of the parent and its relationship to the applying unit. This publication must show that the applying unit has existed for at least one year. Provide the title and a copy of this document.
- h. Briefly describe the applying unit’s organizational structure and management links to the parent.

Attach line and box organization chart(s) showing the relationship of the applicant to the highest management level of the parent, including all intervening levels.

- i. Check the appropriate response. If “Yes” is checked, provide a brief description of the market and product or service similarity and the organizational relationships of all units providing the same or similar products and services and the approximate sales, revenues, or budgets for each of those units. Also, if “yes” is checked, explain how the applicant is distinguishable from the parent and its other subunits.
- j. Briefly describe the major support functions provided to the applicant by the parent or by other subunits of the parent.

9. Supplemental Sections

Check the appropriate response. If “No” is checked, the Eligibility Contact Point will be contacted. Applicants may have two or more diverse product and/or service lines (i.e., in different NAICS codes) with customers, types of employees, technology, planning, and quality systems that are so different that the application report alone does not allow sufficient detail for a fair examination. Such applicants may be required to submit one or more supplemental sections in addition to the application report. (See page 19.) The use of supplemental sections must be approved during the eligibility determination process and is mandatory once approved.

10. Eligibility Contact Point

During the review of the 1999 Eligibility Determination Form and associated materials, the applicant may need to be contacted for additional information. Please designate a person who is knowledgeable about the organization and its structure and who will be available to answer inquiries.

11. Signature

Provide the necessary information and signature of the applicant’s Highest-Ranking Official.

Eligibility Determination Package Preparation Instructions

The 1999 Eligibility Determination Form may be duplicated. In addition, page 2 of the 1999 Eligibility Determination Form (Item 6, Site Listing and Descriptors) should be duplicated if all sites cannot be listed on a single page. All other responses should be included in the space provided on the forms.

Use the check list on page 17 to ensure that all components of the Eligibility Determination Package have been addressed.

Send a letter of transmittal on the applicant’s stationery along with the completed form, associated materials, and fee to:

Malcolm Baldrige National Quality Award
c/o ASQ – Baldrige Award Administration
611 East Wisconsin Avenue
Milwaukee, WI 53202
(414) 298-8789, Ext. 7612

To avoid delay, applicants are encouraged to submit their completed Eligibility Determination Package **as soon as possible, but they must do so no later than April 15, 1999.** All items should be answered. Incomplete forms will cause a delay in determination. All information is considered confidential.

Eligibility Determination

ASQ will return your form with the official determination checked in the appropriate box. An approved 1999 Eligibility Determination Form must accompany each of the 20 copies of the 1999 Award Application Report.

The 1999 Eligibility Determination Package must be postmarked on or before April 15, 1999, to be considered for the 1999 Award. If a question arises about the deadline having been met, a dated receipt from the postal or overnight carrier will be required. Applicants are encouraged to submit the form well ahead of the deadline to avoid delays.

Malcolm Baldrige National Quality Award**1 Applicant**

Official Name _____

Other Name _____

Prior Name _____

Headquarters Address _____

Has the applicant officially or legally existed for at least one year?
(Check one.) ☐ Yes ☐ No (Briefly explain.)*Attach a line and box organization chart for the applying organization, including the name of the head of each unit or division.***2 For-Profit/Not-For-Profit Designation**

The applicant is a for-profit organization _____; a not-for-profit organization _____. (Check one.)

3 Industrial Classification

List up to three of the most descriptive three- or four-digit NAICS codes. (See page 18.)

4 Award Category (Check one.)☐ Manufacturing ☐ Service ☐ Small Business
☐ Education ☐ Health Care**Criteria being used** (check one):☐ Business ☐ Education ☐ Health Care**5 Size and Location of Applicant**a. Preceding fiscal year: Sales Revenues Budgets
(Circle one and indicate amount below)☐ 0-\$1M ☐ \$10M-\$100M ☐ \$500M-\$1B☐ \$1M-\$10M ☐ \$100M-\$500M ☐ Over \$1B

b. Number of sites in: U.S./Territories _____ Overseas _____

c. Total number of employees _____

d. Percent employees in the U.S. and/or territories _____

e. Percent physical assets in U.S. and/or territories _____

f. If some activities are performed outside the applicant's organization (e.g., by an overseas component of the applicant, the parent organization, or its other subunits), will the applicant, if selected for a site visit, make available in the United States sufficient personnel, documentation, and facilities to allow full examination of its operational practices associated with all major functions of its worldwide operations?
☐ Yes ☐ Nog. In the event the applicant receives an Award, can the applicant make available sufficient personnel and documentation to share its practices at the Quest for Excellence Conference and at its U.S. facilities?
☐ Yes ☐ No**OMB Clearance #0693-0006**
Expiration Date: June 30, 1999*This form may be copied and attached to, or bound with, other application materials.*

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6 Site Listing and Descriptors

| a. Address of Site | b. Size of Site | | c. Description of Products or Services |
|--------------------|---------------------|--|--|
| | Number of Employees | Percent of Sales, Revenues or Budgets (circle one) | |
| | | | |

Provide all the information for each site, except where multiple sites produce similar products or services. For such multiple site cases, see page 9.

Use as many copies of this page as necessary to cover all sites.

Malcolm Baldrige National Quality Award**7****Business/School Factors**

Provide a brief description of the following key factors:

- a. Nature of applicant's products, services, and technologies; conclude with a list of *key* competitors.

- b. Nature of major markets (local, regional, national, and international); conclude with a list of *key* customers/users.

Malcolm Baldrige National Quality Award

7 Business/School Factors (Continued)

- c. Importance of suppliers, dealers, distributors, and franchises; conclude with a list of *key* suppliers, including the organization's financial auditor.

8 Subunits

Is the applicant a subsidiary, unit, division, or like organization of a larger parent?

(Check one.)

☐ Yes (Continue) ☐ No (Go to Item 9.)

a. Parent Organization

Name _____

Address _____

Highest Official _____

Title _____

Number of worldwide employees of the parent _____

- b. **Business Only:** Does the applicant have more than 500 employees?

(Check one.) ☐ Yes ☐ No

- c. **Business Only:** Does the applicant comprise over 25 percent of the worldwide employees of the parent?

(Check one.) ☐ Yes ☐ No

- d. **Business Only:** Was the applicant independent prior to being acquired, and does it continue to operate independently under its own identity?

(Check one.) ☐ Yes ☐ No

- e. Does the applicant's parent or another subunit of the parent intend to apply?

(Check one.)

☐ Yes (Briefly explain.) ☐ No ☐ Do not know

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8

Subunits (Continued)

- f. **Business Only:** Are over 50 percent of the applicant's products or services sold or provided to customers/users outside the applicant's organization, its parent company, and other companies with financial or organizational control of the applicant or parent?

(Check one.) ☐ Yes ☐ No (Briefly explain.)

- g. Name the document supporting the subunit designation.

Include a copy of the document with this form.

- h. Briefly describe the organizational structure and management links to the parent.

Attach line and box organization chart(s) showing the relationship of the applicant to the highest management level of the parent, including all intervening levels.

- i. Do other units within the parent provide similar products or services?

(Check one.) ☐ Yes (Briefly explain.) ☐ No

If "Yes", also explain how the applicant is distinguishable from the parent and its other subunits.

- j. Briefly describe the major support functions provided to the applicant by the parent or by other subunits of the parent.

Malcolm Baldrige National Quality Award

9 Supplemental Sections

Does the applicant have: (a) a single performance system that supports all of its product and/or service lines; and (b) products or services that are essentially similar in terms of customers/users, technology, types of employees, and planning?

(Check one.)

☐ Yes (Go to Item 10.)

☐ No (Briefly describe the differences in the products and/or services covered in terms of differences in customers, technology, types of employees, and planning. The Eligibility Contact Point will be contacted.)

10 Eligibility Contact Point

Mr.
Mrs.
Ms.
Name Dr.

Title

Applicant Name

Mailing Address

Overnight
Mailing Address

Telephone No.

Fax No.

II Signature, Highest-Ranking Official

Date

X

Mr.
Mrs.
Ms.
Name Dr.

Title

Applicant Name

Address

Telephone No.

Fax No.

DO NOT WRITE BELOW THIS LINE

1999 Eligibility Determination

☐ Manufacturing

☐ Education

☐ Service

☐ Health Care

☐ Small Business

☐ Ineligible

Award Administration

For Official Use Only

1999 Eligibility Determination Package Check List

1. Eligibility Determination Form:

- a. Have all questions been answered completely?
☐ Yes ☐ No
- b. Is a line and box organization chart included that shows all components of the applicant organization and the name of the head of each unit or division?
☐ Yes ☐ No
- c. If the applicant is a subunit of a larger organization:
- Are line and box organization charts included that show the relationship of the applicant to the highest management level of the parent, including all intervening levels?
☐ Yes ☐ No
 - Are relevant sections/pages of an official publication supporting the subunit designation included?
☐ Yes ☐ No
- d. Is the Eligibility Determination Form signed by the Highest-Ranking Official?
☐ Yes ☐ No

2. Letter of Transmittal:

Is the Eligibility Determination Package accompanied by a letter on the applicant's stationery and signed by the Highest-Ranking Official?

☐ Yes ☐ No

3. Fee:

Is a check or money order included for the \$100 nonrefundable eligibility determination fee made payable to: **The Malcolm Baldrige National Quality Award?**

☐ Yes ☐ No

If you have checked "No" to any question on this list, please recheck the instructions on pages 6 - 8 before submitting your Eligibility Determination Package.

The Baldrige National Quality Program welcomes your comments on the *1999 Application Forms & Instructions for Business, Education, and Health Care*; any of the Criteria; or the Award processes. Please address your comments to:

1999 Application Forms & Instructions for Business, Education, and Health Care
National Institute of Standards and Technology
Baldrige National Quality Program
Administration Building, Room A635
100 Bureau Drive, Stop 1020
Gaithersburg, Maryland 20899-1020

Or you may send E-mail to: nqp@nist.gov.

North American Industry Classification System (NAICS) Codes

Please insert NAICS Codes most relevant to your area of expertise on the first page of the Eligibility Determination Form. If you wish to access the NAICS Codes on-line, connect to “<http://www.census.gov>,” select “subjects A to Z”, select “N”, select “NAICS (North American Industry Classification System).”

| Code | Sector | Code | Sector | Code | Sector |
|------|---|------|--|------|--|
| 111 | Crop Production | 335 | Electrical Equipment, Appliance and Component Manufacturing | 5223 | Activities Related to Credit Intermediation |
| 112 | Animal Production | 3353 | Electrical Equipment Manufacturing-Power Distribution and Specialty Transformer; Motor and Generator; Switchgear; and Relay and Industrial Control Manufacturing | 523 | Securities, Commodity Contracts and Other Intermediation |
| 113 | Forestry and Logging | 3359 | Other Electrical Equipment and Component Manufacturing-Battery; Communication and Energy Wire and Cable; and Wiring Device Manufacturing | 5231 | Securities and Commodity Contracts Intermediation |
| 114 | Fishing, Hunting and Trapping | 336 | Transportation Equipment Manufacturing | 5232 | Securities and Commodity Exchanges |
| 115 | Support Activities for Agriculture and Forestry | 337 | Furniture and Related Product Manufacturing | 5239 | Other Financial Investment Activities |
| 211 | Oil and Gas Extraction | 339 | Miscellaneous Manufacturing | 524 | Insurance Carriers and Related Activities |
| 212 | Mining (except Oil and Gas) | 421 | Wholesale Trade, Durable Goods | 525 | Funds, Trusts and Other Financial Vehicles (U.S. Organizations) |
| 213 | Support Activities for Mining | 422 | Wholesale Trade, Nondurable Goods | 5251 | Insurance and Employee Benefit Funds |
| 221 | Utilities | 441 | Motor Vehicle and Parts Dealers | 5259 | Other Investment Pools and Funds |
| 233 | Building, Developing and General Contracting | 442 | Furniture and Home Furnishings Stores | 531 | Real Estate |
| 234 | Heavy Construction | 443 | Electronics and Appliance Stores | 532 | Rental and Leasing Services |
| 235 | Special Trade Contractors | 444 | Building Material and Garden Equipment and Supplies Stores | 533 | Owners and Lessors of Other Non-Financial Assets |
| 311 | Food Manufacturing | 445 | Food and Beverage Stores | 541 | Professional, Scientific and Technical Services |
| 312 | Beverage and Tobacco Product Manufacturing | 446 | Health and Personal Care Stores | 551 | Management of Companies and Enterprises |
| 313 | Textile Mills | 447 | Gasoline Stations | 561 | Administrative and Support Services |
| 314 | Textile Product Mills | 448 | Clothing and Clothing Accessories Stores | 562 | Waste Management and Remediation Services |
| 315 | Apparel Manufacturing | 451 | Sporting Goods, Hobby, Book and Music Stores | 611 | Educational Services |
| 316 | Leather and Allied Product Manufacturing | 452 | General Merchandise Stores | 621 | Ambulatory Health Care Services |
| 321 | Wood Product Manufacturing | 453 | Miscellaneous Store Retailers | 622 | Hospitals |
| 322 | Paper Manufacturing | 454 | Nonstore Retailers | 623 | Nursing and Residential Care Facilities |
| 323 | Printing and Related Support Activities | 481 | Air Transportation | 624 | Social Assistance |
| 324 | Petroleum and Coal Products Manufacturing | 482 | Rail Transportation | 711 | Performing Arts, Spectator Sports and Related Industries |
| 325 | Chemical Manufacturing | 483 | Water Transportation | 712 | Museums, Historical Sites and Similar Institutions |
| 326 | Plastics and Rubber Products Manufacturing | 484 | Truck Transportation | 713 | Amusement, Gambling and Recreation Institutions |
| 327 | Nonmetallic Mineral Product Manufacturing | 485 | Transit and Ground Passenger Transportation | 721 | Accommodations (hotels) |
| 331 | Primary Metal Manufacturing | 486 | Pipeline Transportation | 722 | Food Services and Drinking Places |
| 332 | Fabricated Metal Product Manufacturing | 487 | Scenic and Sightseeing Transportation | 811 | Repair and Maintenance |
| 333 | Machinery Manufacturing | 488 | Support Activities for Transportation | 812 | Personal and Laundry Services |
| 3331 | Agriculture, Construction, and Mining Machinery Manufacturing | 491 | Postal Service | 813 | Religious, Grant Making, Civic, and Professional and Similar Organizations |
| 3332 | Industrial Machinery Manufacturing | 492 | Couriers and Messengers | 921 | Executive, Legislative, Public Finance and General |
| 3333 | Commercial and Service Industry Machinery Manufacturing | 493 | Warehousing and Storage Facilities | 922 | Justice, Public Order, Safety |
| 3334 | Ventilation, Heating, Air-Conditioning and Commercial Refrigeration Equipment Manufacturing | 511 | Publishing Industries | 923 | Administration of Human Resource Programs |
| 3335 | Metalworking Machinery Manufacturing | 512 | Motion Picture and Sound Recording Industries | 924 | Administration of Environmental Quality Programs |
| 3336 | Engine, Turbine, and Power Transmission Equipment Manufacturing | 513 | Broadcasting and Telecommunications | 925 | Administration of Housing Programs, Urban Planning |
| 3339 | Other General Purpose Machinery Manufacturing | 514 | Information Services and Data Processing Services | 926 | Administration of Economic Programs |
| 334 | Computer and Electronic Product Manufacturing | 521 | Monetary Authorities-Central Bank | 927 | Space Research and Technology |
| 3341 | Computer and Peripheral Equipment Manufacturing | 522 | Credit Intermediation and Related Activities | 928 | National Security and International Affairs |
| 3342 | Communications Equipment Manufacturing | 5221 | Depository Credit Intermediation | 999 | Unclassified Establishments |
| 3344 | Semiconductor and Other Electronic Component Manufacturing | 5222 | Non-Depository Credit Intermediation | | |

1999 Award Application Package Instructions

Instructions for responding to the Criteria and writing the Business or School Overview are included in each of the three Criteria Booklets. Use the Criteria appropriate to your eligibility category; e.g., business, education, or health care.

I. Purpose

The purpose of this section is to provide eligible applicants with instructions for preparing the Award Application Package. These instructions describe content, format, assembly, and submission requirements.

II. Objective

The objective of the Award Application Package is to allow the applicant to provide sufficient information to permit a rigorous evaluation by the Board of Examiners. Information is required on the applicant's performance management system and on the results of its processes. All information provided is considered confidential.

III. Content Requirements

A. Application Report - All Applicants

Only an application report is required if an applicant has a single performance system that supports all of its product and/or service lines and if the products or services are essentially similar in terms of customers, technology, types of employees, planning, and quality systems. **This is the case with most applicants.**

An application report must contain the following in the order listed:

- Front Cover – Blank (no text, pictures, or figures)
- Title Page
- Labeled Tabs or Dividers
- Table of Contents
- Approved 1999 Eligibility Determination Form
- Organization Chart(s)
- 1999 Application Form
- Business or School Overview (5 pages or less)
- Glossary of Terms and Abbreviations
- Responses Addressing All Criteria Items (50 pages or less)
- Summary of Supplemental Sections, if applicable (2 pages or less) (See “Supplemental Sections”)

- Back Cover – Blank

All units/subunits of the applicant must be included in the application report [and/or supplemental section(s)].

B. Supplemental Sections

In order to maintain an equivalent level of detail for all sizes and types of applicants, certain applicants also may need to provide supplemental sections. Supplemental sections are intended to permit applicants with the most complex organizations and performance systems to describe them in sufficient detail to permit a rigorous examination. Supplemental sections may be required if the applicant has two or more diverse product and/or service lines (i.e., in different NAICS codes) with customers, technology, types of employees, planning, and quality systems that are so different that the application report alone will not allow sufficient detail for a fair examination.

The use of supplemental sections must be approved during eligibility determination. Once supplemental sections are approved, they must be submitted by the applicant. If both an application report and supplemental section(s) are submitted, the application report should cover the largest aggregation of similar product or service lines that are supported by a single performance system.

Together, the application report and the supplemental section(s) must cover all products and/or services and all performance systems of the applicant.

Each supplemental section must contain:

- Front Cover – Blank (no text, pictures, or figures)
- Title Page
- Labeled Tabs or Dividers
- Table of Contents
- Organization Chart
- Summary of Supplemental Sections (2 pages or less)
- Business or School Overview (5 pages or less)
- Glossary of Terms and Abbreviations
- Responses Addressing All Criteria Items (35 pages or less)
- Back Cover – Blank

IV. Format Requirements

The application report and supplemental section(s), if any, must meet the page limit, typing, and format requirements below.

A. Page Limits and Exclusions

1. The Business or School Overview for the application report and each supplemental section is limited to five single-sided pages. If the Overview exceeds the five-page limit, the excess pages will be counted as part of the page count for the Responses Addressing All Criteria Items. Guidelines for preparing the Business and School Overviews can be found in each of the Criteria booklets.
2. The Responses Addressing All Criteria Items are limited to 50 single-sided pages including pictures, graphs, figures, tables, and appendices. The responses must contain the same Category and Item numerical designations as the 1999 Criteria. Applicants should denote the Areas to Address with letters a, b, c, etc., corresponding to each Area (e.g., 4.2a).
3. The covers, dividers, tab separators, Table of Contents, Organization Chart(s), Eligibility Determination Form, Application Form, and Glossary of Terms and Abbreviations that contain only the subject material will not be counted as part of the page limit in either the application report or supplemental section. However, if these pages contain any additional material, e.g., text, quotes, graphs, figures, data tables, or pictures, they will be considered part of the 50 pages of the Responses Addressing All Criteria Items and will be counted as part of the total page count for that portion of the Application Package.
4. The Summary of Supplemental Sections, if applicable, is limited to two single-sided pages. If the summary exceeds the two-page limit, the excess will be counted as part of the page count for the Responses Addressing All Criteria Items.
5. In supplemental sections, the Responses Addressing All Criteria Items are limited to 35 single-sided pages.

B. Paper size: standard 8 1/2 by 11 inch

C. Typing

1. Font Size
 - Fixed pitch font of 12 or fewer characters per inch OR
 - Proportional spacing font of point size 10 or larger
2. Line Spacing – Equivalent of two points of lead between lines. Note: *One point of lead equals 1/72, or 0.0138 inch.*
3. Font Style – Any font style may be used that meets the font size and line spacing requirements, but Helvetica and Times or equivalent styles are preferred.

4. Type used in picture captions, graphs, figures, data tables, and appendices also must meet the requirements for font size and line spacing. If the table or graph is reduced from its original size for inclusion, applicants must use larger type sizes in preparing the original so that the reduced material in the application report meets the font size requirements.

Font style and/or size need not be uniform throughout the application report so long as all styles and sizes meet the requirements.

D. Format

1. The number of lines per page must not exceed 60, including the page headings. A blank line separating paragraphs is counted as a line.
2. A margin of at least 3/4 inch on the side of the page that is bound or fastened and at least 1/2 inch on the opposite side of the page is preferred.
3. Pages set up in a two-column format are preferred. Pages may be printed on both sides.
4. Text pages should have portrait orientation. Graphs, figures, and data tables may have either portrait or landscape orientation.

E. Page Numbering – The pages of the Responses Addressing All Criteria Items must be numbered consecutively from start to finish (e.g., 1, ..., 50). Blank pages should not be numbered.

V. Assembly Requirements

- A. All components of the application report and supplemental section(s) must be securely fastened to prevent separation during handling. The use of clips or binders with easily opened pressure-sensitive clips is discouraged. Supplemental section(s) must be bound separately from the application report.
- B. The use of bulky binders or similar heavy covers is discouraged.
- C. Video and audio tapes or other information aids are not acceptable.

VI. Submission Requirements

- A. Applicants must submit a 1999 Award Application Package containing:
 1. Twenty individually bound copies of the complete application report and, if appropriate, twenty individually bound copies of each supplemental section.
 2. A check or money order covering the application fees for the application report and, if appropriate, each supplemental section. (See No. 4 on the Application Form Instructions on page 22 for specific fees.) The check or money order should be made payable to **The Malcolm Baldrige National Quality Award.**

- B. The 1999 Award Application Package must be postmarked or consigned to an overnight delivery service no later than June 2, 1999, to be eligible for a 1999 Award. If a question arises about the deadline having been met, the applicant will be asked to supply a dated receipt from the postal or overnight carrier.

Incomplete submissions or those that do not meet the requirements given in the sections entitled “Content Requirements” and “Format Requirements” may be returned along with the fee payment.

Send the complete 1999 Award Application Package to:

Malcolm Baldrige National Quality Award
c/o ASQ – Baldrige Award Administration
611 East Wisconsin Avenue
Milwaukee, WI 53202
(414) 298-8789, Ext. 7612

VII. Description of Application Report Parts

Each copy of the application report must contain:

- A. **Front Cover** – Blank (no text, pictures, or figures).
- B. **Title Page** with the name of the applicant and, optionally, the applicant’s address, pictures, and logo; the date; a statement indicating that this is an application for the 1999 Malcolm Baldrige National Quality Award, and/or a statement regarding confidentiality of content.
- C. **Labeled Tabs or Dividers** separating the sections of the report and containing only the title of the section.
- D. **Table of Contents** indicating the page number of the following: the approved 1999 Eligibility Determination Form, the Organization Chart(s), the 1999 Application Form, the Business or School Overview, the Glossary of Terms and Abbreviations, and each Category and Item. Areas to Address, tables, and figures need not be included in the Table of Contents.
- E. Copy of the completed **1999 Eligibility Determination Form** approved by ASQ, including all Site Listing and Descriptors pages and, if the applicant is a subunit, line and box organization chart(s) of the parent/holding company showing where the applicant fits into the overall organization.
- F. **Line and box organization chart(s) of the applicant** with sufficient detail for Examiners to understand the relationships between the applicant’s subunits.
- G. Copy of the completed and signed **1999 Application Form** (see page 23) indicating that the applicant agrees to the terms and conditions of the Award process and, if chosen, agrees to: host a site visit; facilitate an open and unbiased examination; pay reasonable costs associated with the site visit; and, if selected as an Award recipient, share information on successful performance excellence strategies with other U.S. organizations.
- H. **Business or School Overview** outlining the applicant’s organization, addressing what is most important to the organization as well as the key factors that influence how the organization operates and where it is headed. A vital part of the overall application, the Overview is used by the Examiners in all stages of the application review.
- I. **Glossary of Terms and Abbreviations** used in the application report and each supplemental section.
- J. **Responses Addressing All Criteria Items**
- Respond to each Item as a whole. Address the set of Areas with an emphasis that reflects the applicant’s organization and performance system. To facilitate review by the Board of Examiners, respond to the Areas in the order given in the Items. Address activities in foreign sites in the appropriate Items.
 - If an Area to Address does not pertain to the applicant’s organization or performance system, provide a statement of one or two sentences explaining why the Area is not applicable. The Item/Area designator should be used as described under format requirements.
- K. If applicable, provide a **Summary of Supplemental Sections** — a brief description of each supplemental section, including the products, services, and NAICS codes.
- L. **Back Cover** – Blank.

Application Form – Instructions

Instructions

Provide all information requested. A copy of the 1999 Application Form must be included in each of the 20 copies of the 1999 Application Report (as described on page 19).

1. Applicant

Provide the official name and mailing address of the organization applying for the Award.

2. Award Category

From the approved 1999 Eligibility Determination Form, indicate under which of the five eligibility categories the applicant was approved and which Criteria are being used.

3. Official Contact Point

As the examination proceeds, the applicant may need to be contacted for additional information or for arrangements for a site visit. Further communications between the applicant and the American Society for Quality (ASQ) or the Baldrige National Quality Program will be limited to this Official Contact Point. This person should have both in-depth knowledge of the organization and a good understanding of the organization's application. Designate a person with authority who will be available to provide additional information, to answer inquiries, or to arrange a site visit.

If this Official Contact Point changes during the course of the application process, please inform ASQ.

4. Fee

Fee payment must be submitted with the application. The fees for the 1999 Application Report are: \$4500 for manufacturing, service, for-profit education institutions, and for-profit and not-for-profit health care organizations with more than 500 employees; \$1500 for small businesses, for-profit education institutions, and for-profit and not-for-profit health care organizations with fewer than 500 employees; \$300 for not-for-profit education institutions; and \$1500 for supplemental sections.

5. Release Statement

Please read this section carefully. A signed application indicates that the applicant agrees to the terms and conditions stated therein.

6. Signature, Highest-Ranking Official

The applicant's Highest-Ranking Official must sign in the space provided, indicating that the applicant will comply with the terms and conditions stated in the document. Type that person's name, title, address, and telephone number, as indicated.

1999 Application Form

Malcolm Baldrige National Quality Award

1 Applicant

Name _____

Mailing Address _____

2 Award Category (Check one.)

___ Manufacturing ___ Service ___ Small Business

___ Education ___ Health Care

Criteria being used (Check one.)

___ Business ___ Education ___ Health Care

3 Official Contact Point

Mr.
Mrs.
Ms.
Name Dr. _____

Title _____

Applicant Name _____

Mailing Address _____

Overnight
Mailing Address _____

Telephone No. _____

Fax No. _____

4 Fee (See page 5 for instructions.)

Enclosed is \$_____ to cover one application report and
_____ supplemental sections.

Make check or money order payable to:

The Malcolm Baldrige National Quality Award

5 Release Statement

We understand that this application will be reviewed by members of the Board of Examiners.

Should our organization be selected for a site visit, we agree to host the site visit and to facilitate an open and unbiased examination. We understand that the organization must pay reasonable costs associated with a site visit.

If our organization is selected to receive an Award, we agree to share nonproprietary information on our successful performance excellence strategies with other U.S. organizations.

6 Signature, Highest-Ranking Official

Date _____

X

Mr.
Mrs.
Ms.
Name Dr. _____

Title _____

Applicant Name _____

Mailing Address _____

Telephone No. _____

OMB Clearance #0693-0006
Expiration Date: June 30, 1999

**This form may be copied and attached to, or
bound with, other application materials.**

How to Order Baldrige Program Materials

Award Materials

Individual Orders

Individual copies of the Criteria and the *1999 Application Forms & Instructions for Business, Education, and Health Care* can be obtained free of charge from the Baldrige National Quality Program at NIST. Telephone: (301) 975-2036; Fax: (301) 948-3716; E-mail: nqp@nist.gov.

Bulk Orders

Multiple copies of the *1999 Criteria for Performance Excellence* booklets may be ordered in packets of 10 for \$29.95 plus shipping and handling from the American Society for Quality (ASQ).

1999 Business Criteria — Item Number T1078
1999 Education Criteria — Item Number T1082
1999 Health Care Criteria — Item Number T1081

How to Order

- For fastest service, call toll free (800) 248-1946 in the United States and Canada (in Mexico, dial toll free 95-800-248-1946). Have item numbers, your credit card or purchase order number, and (if applicable) ASQ member number ready.
- Or fax your completed order form to ASQ at (414) 272-1734.
- Or mail your order to ASQ Customer Service Department, P.O. Box 3066, Milwaukee, WI 53201-3066.
- Or order online from ASQ's website at <http://www.asq.org>.

Payment

Your payment options include: Check, money order, U.S. purchase order, VISA, MasterCard, or American Express. Payment must be made in U.S. currency; checks and money orders must be drawn on a U.S. financial institution. All international orders must be prepaid. Please make checks payable to ASQ.

Shipping Fees

The following shipping and processing schedule applies to all orders:

| Order Amount | U.S. Charges | Canadian Charges |
|-----------------|--------------|------------------|
| 0 – \$34.99 | \$ 4.00 | \$ 9.00 |
| \$35.00 – 99.99 | 6.25 | 11.25 |
| Over \$100.00 | 12.50* | 17.50 |

- There is an additional charge of 25% of the total order amount for shipments outside the United States/Canada.
- Orders shipped within the continental United States and Canada where UPS service is available will be shipped UPS.

- Please allow one to two weeks for delivery. International customers, please allow six to eight weeks for delivery.
- Your credit card will not be charged until your items are shipped. Shipping and processing are charged one time, up front, for the entire order.
- * *If actual shipping charges exceed \$12.50 (\$17.50 Canadian), ASQ will invoice the customer for the additional expense.*

Educational Materials

Each year, the Baldrige National Quality Program develops materials for training members of the Board of Examiners and for sharing information on the successful performance excellence strategies of the Award recipients. The items listed below are a sample of the educational materials that may be ordered from ASQ.

Case Studies

The case studies are used to prepare Examiners for the interpretation of the Criteria and the Scoring System. The case studies, when used with the Criteria, illustrate the Award application and review process. The case study packet is illustrative of an application for the Baldrige Award and is useful in understanding the benefits of the Baldrige process, as well as for self-assessment, planning, training, and other uses.

1998 Business Case Study Packet: Gemini Home Health Services (*Based on the 1998 Criteria for Performance Excellence*)

Item Number T1083: \$49.95 plus shipping and handling

1997 Business Case Study Packet: Gateway Estate Lawn Equipment Company (*Based on the 1997 Criteria for Performance Excellence*)

Item Number T1039: \$49.95 plus shipping and handling

Education Case Study Packet: Ridgecrest School District (*Based on the 1995 Education Pilot Criteria*)

Item Number T1023: \$7.28 plus shipping and handling

Health Care Case Study Packet: Pinnacle Health Plan (*Based on the 1995 Health Care Pilot Criteria*)

Item Number T1029: \$7.28 plus shipping and handling

Award Winners Videos

The Award winners videos are a valuable resource for gaining a better understanding of performance excellence and quality achievement. The videos provide background information on the Baldrige National Quality Program, highlights from the annual Award ceremony, and interviews with representatives from the winning companies. Information on the 1998 Award winners video is provided below. Videos about Award winners from other years also are available from ASQ.

1998 — Item Number T1076 \$20.00
(Available April 1999)

Quest For Excellence XI Conference

Each year, Quest for Excellence, the official conference of the Malcolm Baldrige National Quality Award, provides a forum for Baldrige Award recipients to share their exceptional performance practices with worldwide leaders in business, education, health care, and not-for-profit organizations. Quest for Excellence XI will showcase the 1998 recipients.

For the last ten years, executives, managers, and quality leaders have come to this conference to learn how these role-model organizations have achieved performance excellence. CEOs and other leaders from the 1998 Award recipients who are transforming their organizations will give presentations covering all seven Categories of the Baldrige Criteria: Leadership; Strategic Planning;

Customer and Market Focus; Information and Analysis; Human Resource Focus; Process Management; and Business Results. Conference attendees will have the opportunity to ask questions of the Award recipients. This three-day conference is designed to maximize learning and networking opportunities.

The Quest for Excellence XI Conference will be held April 25-28, 1999, at the Marriott Wardman Park Hotel in Washington, DC. For further information, contact National Institute of Standards and Technology (NIST), Baldrige National Quality Program, Administration Building, Room A635, 100 Bureau Drive, Stop 1020, Gaithersburg, MD 20899-1020; telephone: (301) 975-2036; fax: (301) 948-3716; or E-mail: nqp@nist.gov.

Paperwork Reduction Act Statement

Notwithstanding any other provision of the law, no person is required to respond to, nor shall any person be subject to a penalty for failure to comply with, a collection of information subject to the requirements of the Paperwork Reduction Act, unless that collection of information displays a currently valid OMB Control Number.

The reason for collecting this information is to allow organizations to apply for the Malcolm Baldrige National Quality Award (Award). The information obtained will assist in determining the winners. Responses to the collection of information are required to be considered for the Award. Confidentiality of the submitted information is covered under the Freedom of Information Act to the extent possible under the law.

The public reporting burden for this collection is estimated to average 100 hours for the initial response of the first-time applicant (this includes the time for

reviewing instructions, searching existing data sources, gathering and maintaining the relevant data, and completing and reviewing the collection of information). As the organization reapplies for the Award in future years, it is possible that this burden will change, in either direction, based on the feedback the respondent gains from their first application.

Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to:

Dr. Harry Hertz, Director, Baldrige National Quality Program, NIST, Administration Building, Room A635, 100 Bureau Drive, Stop 1020, Gaithersburg, MD 20899-1020, and to the Office of Information and Regulatory Affairs, Office of Management and Budget, Washington, DC. 20503.

We are easy to reach. Our web address is <http://www.quality.nist.gov>

Baldrige National Quality Program

United States Department of Commerce
Technology Administration
National Institute of Standards and Technology
Baldrige National Quality Program
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